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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/556,795	04/25/2000	AKIRA SHIMOKOHBE	106096	8141

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EXAMINER
SARKAR, ASOK K

ART UNIT	PAPER NUMBER
2813	

DATE MAILED: 11/30/2001

Please find below and/or attached an Office communication concerning this application or proceeding.

Offic Action Summary	Applicati n N .	Applicant(s)
	09/556,795	HATA ET AL.
	Examiner	Art Unit
	Asok K. Sarkar	2813

-- Th MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

1)☒ Responsive to communication(s) filed on *04 October 2001* .

2a)☒ This action is **FINAL**. 2b)☐ This action is non-final.

3)☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

4)☒ Claim(s) *1-22* is/are pending in the application.

4a) Of the above claim(s) *1 and 2* is/are withdrawn from consideration.

5)☐ Claim(s) _____ is/are allowed.

6)☒ Claim(s) *3-22* is/are rejected.

7)☐ Claim(s) _____ is/are objected to.

8)☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

9)☐ The specification is objected to by the Examiner.

10)☐ The drawing(s) filed on _____ is/are: a)☐ accepted or b)☐ objected to by the Examiner.

Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

11)☐ The proposed drawing correction filed on _____ is: a)☐ approved b)☐ disapproved by the Examiner.

If approved, corrected drawings are required in reply to this Office action.

12)☐ The oath or declaration is objected to by the Examiner.

Priority under 35 U.S.C. §§ 119 and 120

13)☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

a)☐ All b)☐ Some * c)☐ None of:

1.☐ Certified copies of the priority documents have been received.

2.☐ Certified copies of the priority documents have been received in Application No. _____ .

3.☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

14)☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).

a) ☐ The translation of the foreign language provisional application has been received.

15)☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

Attachment(s)

1) ☐ Notice of References Cited (PTO-892)

2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)

3) ☐ Information Disclosure Statement(s) (PTO-1449) Paper No(s) _____ .

4) ☐ Interview Summary (PTO-413) Paper No(s). _____ .

5) ☐ Notice of Informal Patent Application (PTO-152)

6) ☐ Other: .

DETAILED ACTION

Claim Rejections - 35 USC § 103

1. Claims 3 – 22 rejected under 35 U. S. C. 103(a) as being unpatentable over relevant prior arts in paper No. 9 are reproduced below:

2. The text of those sections of Title 35, U.S. Code not included in this action can be found in a prior Office action.

3. Claims 3 – 5 are rejected under 35 U.S.C. 103(a) as being unpatentable over Saotome et al., "Suparplastic Micro-forming of Microstructures", Proceedings, IEEE Workshop on Micro Electro Mechanical Systems, p 343 – 348,1994.

Regarding claim 3, Saotome discloses a method for producing a thin film-structure by the following steps:

a) forming on a semiconductor die substrate a layer of an amorphous La-Al-Ni alloy material in columns 1 and 2 (see Fig.11);

b) heating (forging) the layer of glass to a temperature within the supercooled liquid phase region and thereby deforming the layer to a given shape, and

c) cooling the alloy to room temperature from the deformation temperature to stop deformation and form the structure in Fig. 11.

Saotome fails to disclose the layer as a thin film.

However, given the substantial teaching of Saotome, it would have been obvious to one with ordinary skill in the art at the time of the invention to form a thin film of the alloy material in stead of the layer and heat the alloy film to a temperature within the

supercooled region to deform the alloy and cooling the alloy to room temperature to retain the deformed structure instead of applying external pressure by forging operation.

Regarding claim 4, Saotome discloses a thin film-structure where the amorphous alloy has a glass transition temperature within 200 - 600°C in column 1, page 346.

glass transition temperature within 200 - 600°C

Saotome fails to disclose the temperature width of not less than 20°C in the supercooled liquid phase region.

Examiner takes Official Notice that many glassy materials are known to possess a glass transition temperature within 200 - 600°C and a temperature width of not less than 20°C in the supercooled liquid phase region.

Therefore, it would have been obvious at the time the invention was made to one of ordinary skill in the art to employ an amorphous material of glass having a glass transition temperature within 200 - 600°C and a temperature width of not less than 20°C in the supercooled liquid phase region since the examiner takes Official Notice that amorphous materials with a glass transition temperature within 200 - 600°C and a temperature width of not less than 20°C in the supercooled liquid phase region is well known.

Regarding claim 5, deformation of the thin film of glass by its own weight is inherent in the disclosed method of Saotome.

4. Claims 6, 7 and 9 – 22 are rejected under 35 U.S.C. 103(a) as being unpatentable over Saotome et al., "Suparplastic Micro-forming of Microstructures",

Proceedings, IEEE Workshop on Micro Electro Mechanical Systems, p 343 – 348,1994 in view of Aksyuk et al., US 5,994,159.

Regarding claim 6, Saotome fails to teach deformation of thin film in the thin film structure by mechanical external force.

Aksyuk teaches a method of fabricating a thin film structure for micro-mechanical device in which the thin film beam 8 (see Fig. 1) is deformed by external mechanical force in column 6, line 22.

Therefore, given the substantial teaching of Saotome in view of Aksyuk, it would have been obvious to one with ordinary skill in the art at the time of the invention to deform the thin film of Saotome by mechanical external force to form the thin film structure.

Regarding claim 7, Saotome fails to teach deformation of thin film in the thin film structure by electrostatic external force.

Aksyuk teaches a method of fabricating a thin film structure for micro-mechanical device in which the thin film beam 8 (see Fig. 1) is deformed by external electrostatic force in column 5, line 62.

Therefore, given the substantial teaching of Saotome in view of Aksyuk, it would have been obvious to one with ordinary skill in the art at the time of the invention to deform the thin film of Werner by electrostatic external force to form the thin film structure.

Regarding claim 9, Saotome fails to teach deformation of thin film in the thin film structure by electrostatic external force.

Aksyuk teaches a method of fabricating a thin film structure for micro-mechanical device in which the thin film beam 8 (see Fig. 1) is deformed by external electrostatic force wherein an electrode layer made of conductive material is formed nearby the thin film, an opposite electrode being formed opposing the thin film and the thin film is deformed by the electrostatic external forces generated between the electrode layer and the opposite electrode in between column 5, line 61 and column 6, line 13.

Therefore, given the substantial teaching of Saotome in view of Aksyuk, it would have been obvious to one with ordinary skill in the art at the time of the invention to deform the thin film of Werner by electrostatic external force to form the thin film structure wherein an electrode layer made of conductive material is formed nearby the thin film, an opposite electrode being formed opposing the thin film and the thin film is deformed by the electrostatic external forces generated between the electrode layer and the opposite electrode.

Regarding claim 10, Saotome fails to teach deformation of thin film in the thin film structure by magnetic external force.

Aksyuk teaches a method of fabricating a thin film structure for micro-mechanical device in which the thin film beam 8 (see Fig. 1) is deformed by external magnetic force in column 6, line 15.

Therefore, given the substantial teaching of Saotome in view of Aksyuk, it would have been obvious to one with ordinary skill in the art at the time of the invention to deform the thin film of Werner by magnetic external force to form the thin film structure.

Regarding claim 11, Saotome fails to teach deformation of thin film in the thin film structure by magnetic external force.

Aksyuk teaches a method of fabricating a thin film structure for micro-mechanical device in which the thin film beam 8 (see Fig. 1) is deformed by external electrostatic force wherein a magnetic layer made of a magnetic material is formed nearby the thin film, an opposite magnet being formed opposing the thin film and the thin film is deformed by the magnetic external forces generated between the magnetic layer and the opposite magnet in column 6, lines 14 - 20.

Therefore, given the substantial teaching of Saotome in view of Aksyuk, it would have been obvious to one with ordinary skill in the art at the time of the invention to deform the thin film of Saotome by applying magnetic external force to form the thin film structure wherein a magnetic layer made of a magnetic material is formed nearby the thin film, an opposite electrode being formed opposing the thin film and the thin film is deformed by the magnetic external forces generated between the magnetic layer and the opposite magnet.

Regarding claims 12 – 14, Saotome teaches deforming the thin film amorphous material by heating as described earlier with respect to claims 3 and 5.

Saotome fails to teach deforming the thin film by magnetic forces where the thin film is heated in the Curie Temperature range of the magnetic material such as Ni, Fe, Co and Mn, the Curie Temperature being in the range of 210 – 1200°C.

Aksyuk teaches deforming the thin film by magnetic forces generated by induced current but fails to expressly teach that the magnetic force can be generated by using

magnetic materials such as Ni, Fe, Co and Mn having the Curie Temperature in the range of 210 – 1200°C.

However, given the substantial teaching of in view of Aksyuk, it would have been obvious to one with ordinary skill in the art at the time of the invention to deform the thin film of Saotome by heating it within supercooled liquid region and applying magnetic external force to form the thin film structure wherein a magnetic layer is made of a common magnetic materials such as Ni, Fe, Co and Mn having the Curie Temperature in the range of 210 – 1200°C in stead of an electromagnet.

Regarding claims 15 – 18, Saotome teaches deforming the thin film amorphous material by heating as described earlier with respect to claims 3 and 5.

Regarding claim 15, Saotome fails to teach to form a subsidiary layer made of a material having a different thermal expansion coefficient from that of the amorphous material nearby the film and the thin film is deformed by the stress resulting from the difference in thermal expansion coefficient between the thin film and the subsidiary layer generated in their interface. Saotome also fails to teach the magnitude of the thermal expansion coefficient, the thickness of the subsidiary layer and the make up of the subsidiary layer.

Aksyuk teaches a method of producing a thin film-structure where the beam is made up of two layers with one layer being polysilicon of a thickness of 1.5 micron and each layer having different linear thermal expansion and the deformation of the thin film is actuated by generating stress due to differential contraction of the two layers which is the result of different linear thermal expansion.

Therefore, given the substantial teaching of Saotome in view of Aksyuk, it would have been obvious to one with ordinary skill in the art at the time of the invention to deform the thin film modifying Saotome's method by using a subsidiary layer made of material having different linear thermal expansion than that of the amorphous thin film material and by simultaneous application of heat.

Regarding claims 16 – 18, Aksyuk teaches the thickness of the subsidiary layer in column 5, line 11 but fails to teach the magnitude of the thermal expansion coefficient, and the make up of the subsidiary layer except that it is polysilicon in column 5, line 10.

However, given the substantial teaching of Saotome in view of Aksyuk et al., it would have been obvious to one with ordinary skill in the art at the time of the invention to judiciously adjust and control parameters of the subsidiary layer such as thermal expansion coefficient, which also depends on the composition and the relative thickness of this layer with respect to the thin film during the deformation of an amorphous glassy thin film structure by the generation of stress due to thermal expansion mismatch through routine experimentation and optimization to achieve optimum benefits (see MPEP 2144.05) and it would not yield any unexpected results. Since the deformation is also induced by heat, it would be logical to combine the substrate material with the thin film material to provide an efficient deformation mechanism by the thermal expansion mismatch technique.

Regarding claims 19 – 22, Saotome teaches deforming the thin film amorphous material by heating as described earlier with respect to claims 3 and 5.

Regarding claim 19, Saotome fails to teach to form a subsidiary layer including an internal stress is formed nearby the film and the thin film is deformed by the stress resulting from the difference in internal stress between the thin film and the subsidiary layer generated in their interface. Saotome also fails to teach the magnitude of the compressive or tensile stress, the thickness of the subsidiary layer and the make up of the subsidiary layer.

Aksyuk teaches a method of producing a thin film-structure where the beam is made up of two layers with one layer being polysilicon of a thickness of 1.5 micron and each layer having high intrinsic strain and the deformation of the thin film is actuated due to internal stresses of the two in column 5, lines 19 - 33.

Regarding claims 20 – 22, Aksyuk fails to expressly disclose the magnitude of the stress in the subsidiary layer, the relative thickness with respect to the thin film and the composition of the subsidiary layer made by mixing the substrate and the amorphous thin film.

However, given the substantial teaching of Saotome in view of Aksyuk, it would have been obvious to one with ordinary skill in the art at the time of the invention to judiciously adjust and control parameters of the subsidiary layer such as the magnitude of the internal intrinsic stress which also depends on the composition and the relative thickness with respect to the thin film during the deformation of an amorphous glassy thin film structure by the generation of stress due to the difference in internal stress between them through routine experimentation and optimization to achieve optimum benefits (see MPEP 2144.05) and it would not yield any unexpected results. Since the

deformation is also induced by heat, it would be logical to combine the substrate material with the thin film material to provide an efficient deformation mechanism by the internal stress differences between the two materials.

5. Claim 8 is rejected under 35 U.S.C. 103(a) as being unpatentable over Saotome et al., "Suparplastic Micro-forming of Microstructures", Proceedings, IEEE Workshop on Micro Electro Mechanical Systems, p 343 – 348,1994 in view of Aksyuk et al., US 5,994,159 as applied to claim 7 above, and further in view of Tregilgas et al., EP 0,762,176 A2

Saotome fails to teach deformation of thin film in the thin film structure by electrostatic external force.

Aksyuk teaches a method of fabricating a thin film structure for micro-mechanical device in which the thin film beam 8 (see Fig. 1) is deformed by external electrostatic force wherein an electrode layer made of conductive material is formed nearby the thin film, an opposite electrode being formed opposing the thin film and the thin film is deformed by the electrostatic external forces generated between the electrode layer and the opposite electrode in between column 5, line 61 and column 6, line 13.

Aksyuk et al. fails to teach that the thin film is made of a conductive material.

Tregilgas et al. teaches a method of producing a thin film structure where they teach forming a beam 24 (see Fig. 3f) of an amorphous conductive material (nitrided aluminum or non-aluminum alloy) in column 1, lines 49 – 53.

Therefore, given the substantial teaching of Saotome in view of Aksyuk and further in view of Tregilgas, it would have been obvious to one with ordinary skill in the art at the

time of the invention to deform the thin film of Werner by electrostatic external force to form the thin film structure wherein the thin film is made of conductive material and the thin film is deformed by the external electrostatic force generated between the thin film and the opposite electrode to form the thin film structure.

Response to Arguments

1. Applicant's arguments filed October 4, 2001 have been fully considered but they are not persuasive.

2. Applicant contends that the present invention is directed towards forming an amorphous thin film structure on a substrate by deforming it under its own weight by heating the film in the supercooled liquid phase region.

3. The Examiner agrees with the Applicant regarding Engelke's disclosure that glass will not easily deform under its own weight between the room temperature and T_g. However, Saotome's article in their results part in page 348 clearly points out that amorphous alloys in a supercooled liquid state can be used for micromechanical components/structures due to deformation under viscous flow.

4. In response to Applicant's argument that Saotome does not disclose a thin film structure comprising an amorphous thin film made on a substrate, the Applicant is directed towards Saotome's Fig. 1 in page 343. The V-grove die is the substrate (Si) and the specimen on top is the amorphous thin film. Note the dimension of the die throat and compare it with the thickness of the specimen in Fig. 1. The deformation of a material without any external force is inherent under viscous flow deformation. They are

using the press for the deformation only to develop some theoretical deformation curves.

5. In response to applicant's argument that there is no suggestion to combine the references, the examiner recognizes that obviousness can only be established by combining or modifying the teachings of the prior art to produce the claimed invention where there is some teaching, suggestion, or motivation to do so found either in the references themselves or in the knowledge generally available to one of ordinary skill in the art. See *In re Fine*, 837 F.2d 1071, 5 USPQ2d 1596 (Fed. Cir. 1988) and *In re Jones*, 958 F.2d 347, 21 USPQ2d 1941 (Fed. Cir. 1992). In this case, Saotome teaches all limitations of the independent claim. Aksyuk and Tregilgas teach all limitations of the dependent claims.

Conclusion

6. **THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

7. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Asok K. Sarkar whose telephone number is 703 238 2521. The examiner can normally be reached on Monday - Friday (8 AM- 5 PM).

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Charles Bowers can be reached on 703 308 2417. The fax phone numbers for the organization where this application or proceeding is assigned are 703 308 7722 for regular communications and 703 308 7722 for After Final communications.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is 703 308 4918.

Asok K. Sarkar
November 14, 2001

Charles D. Bowers Jr.
Charles Bowers
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